

#3

## FORMALITIES LETTER

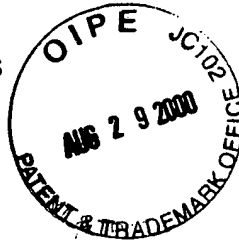


\*OC00000005137802\*


**UNITED STATES DEPARTMENT OF  
COMMERCE**  
**Patent and Trademark Office**

 Address: COMMISSIONER OF PATENT AND TRADEMARKS  
 Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/553,423	04/19/2000	STUART A FRASER	CF/002

 1473  
 FISH & NEAVE  
 1251 AVENUE OF THE AMERICAS  
 50TH FLOOR  
 NEW YORK, NY 10020


Date Mailed: 05/24/2000

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION****FILED UNDER 37 CFR 1.53(b)*****Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/31/2000 BHABTEW 00000010 09553423

01 FC:105

130.00 OP

Sector \$



PATENTS  
CF/002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicants : Stuart A. Fraser, et al.  
Application No.: 09/553,423  
Filed : April 19, 2000  
For : SYSTEMS AND METHODS FOR TRADING  
Group Art Unit : 2768

New York, New York 10020  
August 24, 2000

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Attention: Box Missing Parts

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

Responsive to the Notice to File Missing Parts  
of Application mailed May 24, 2000, applicants hereby  
submit the following:

1. A copy of the May 24, 2000 Notice to File Missing Parts of Application;
2. Executed Declaration and Power of Attorney;
3. Petition Under 37 CFR 1.136(a) for one-month extension of time;
4. Two (2) checks in the amounts of  
(i) \$130.00 in payment of the surcharge;  
and (ii) \$110.00 for one-month extension  
of time.

Please credit any overpayment or charge any  
deficiencies in connection with this Reply to Deposit

Account No. 06-1075. A duplicate copy of this paper is enclosed.

Respectfully submitted,



Matthew T. Byrne  
Reg. No. 40,934  
Attorney for Applicants  
FISH & NEAVE  
1251 Avenue of the Americas  
New York, New York 10020  
Tel.: (212) 596-9000

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to: ASSISTANT  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

August 24, 2000  
Lori N. Scott  
Lori N. Scott  
Signature of Person Signing